# Z7th Annual SC Statewide Audit Conference EMBASSYSUITES by HILTON COLUMBIA-GREYSTONE Z00 Stoneridge Dr., Columbia, South Carolina Wednesday, November Z0-Friday, November ZZ, Z019

Striving to Meet your Audit, Fraud, IT, CyberSecurity Training and Exam Prep Needs











# Annual Conference Jointly Presented By:







# **Audit Skills for Every Member of Your Staff!**

Our 27th Annual SC Statewide Audit Conference will offer 20 CPEs with Internal Audit, IT, Cybersecurity, Fraud and Ethics training as well as CIA and CISA exam review courses for as low as \$22.50 per CPE hour:

- Conference begins 8:30 am Wednesday, November 20, 2019 and ends at 12:20 pm Friday, November 22, 2019.
- Internal Audit/Fraud Track 1 features "Successfully Implementing and Managing Enterprise Risk Management" 11/20/19 and 11/21/19. This course is NASBA-certified for CPAs whose state regs require such.
- On Friday, 11/22/19, a two-hour SC Board of Accountancy-approved SC Ethics course in the General Session as well as additional training for a total of 4 CPE hours.
- IT/Cybersecurity Track 2 features "Auditing the Cybersecurity of Your Internet DMZ(Good Fences Make Good Neighbors)" 11/14/18 - 11/16/18.



\*NASBA\*

# Track 1- Audit Track \*NASBA\*



### Successfully Implementing and Managing Enterprise Risk Management Wednesday, 11/20/19 – Thursday 11/21/19

Presented by Leighton Johnson, CISSP, CISA, CISM, Founder and CTO of ISFMT

COSO defines Enterprise Risk Management (ERM) as "a process, effected by an entity's board of directors, management, and other personnel, applied in strategy setting and across the enterprise, designed to identify potential events that may affect the entity, and manage risk to be within the risk appetite, to provide reasonable assurance regarding the achievement of entity objectives." That sounds rather vague. What does it mean to your organization, and how do you make it happen? During this course participants will examine risk types, methods for identification of risk, evaluation of risks, mitigating options, and on-going monitoring. This class will help individuals learn and develop the skills necessary to help drive, implement, and execute an effective Enterprise Risk Assessment through the use of lecture, interactive discussion, case studies, best practices, and group exercises.

- Learning what ERM is and why it is important and valuable to organizations
- Understanding risk issues faced by organizations
- Understanding risk management frameworks used in managing risks
- Learning how to assess risks and risk drivers for a corporation
- Learning why risk quantification is important and basic quantification approaches
- Understanding how risk management is a powerful tool for both strategic and tactical decisions
- Enterprise Risk Management Basics: What is risk? What ERM is and why it's important Value proposition of ERM; The role corporate culture plays; •Internal and external environments;
- COSO ERM Model; Internal environment; Objective setting; Event identification •Risk assessment •Control activities •Information and communication •Monitoring
- The ERM Process: Defining the risk culture Establishing roles and responsibilities Sponsorship Tone at the Top Formally defining roles and responsibilities Internal Audit's role • Establishing goals and objectives • Implementing a formal ERM framework, process, and documentation • Aligning business strategy with ERM goals of Considering organizational culture, principles, and values of Determining resource allocation for ERM of Communications for ERM process of Identifying the risks assessment methodologies, tools, and techniques to use o External and environmental risks o Business and reputational risks o Financial risks o Operational and process risks • Assessing the risks—qualitative and quantitative assessment • Evaluating the risks—options for managing the risks • Mitigating the risks—strategies and methods for implementing mitigation and monitoring • Monitoring the risks—internal audit, data analytics, dashboards, etc.
- Incorporating Fraud Risk Assessments: Learning how to conduct a fraud risk assessment Understanding basic fraud concepts Identifying best practices in fraud risk assessment • Learning to utilize appropriate frameworks for assessing fraud risks • Usage of commonly used frameworks, scorecards, and reporting templates • Incorporating into the ERM
- Exercises, Case Studies, and Best Practices: Tools and techniques Successes and failures Best practices

### About the Speaker

Leighton Johnson, CISSP, CISA, CISM, is the CTO of ISFMT (Information Security & Forensics Management Team). He has presented computer security, cyber security and forensics classes and seminars all across the US and Europe. He was regional CIO and Senior Security Engineer for a 450 person directorate within Lockheed Martin Information Systems & Global Solutions Company covering 7 locations within the Eastern and Midwestern parts of the U.S. He is an adjunct instructor of digital and network forensics and incident response at Augusta State University. He has over 36 years' experience in Computer Security, Cyber Security, Software Development and Communications Equipment Operations & Maintenance; Primary focus areas include computer security, information operations & assurance, software system development life cycle focused on modeling & simulation systems, systems engineering and integration activities, database administration, business process & data modeling. He holds CISM (Certified Information Security Manager), CISSP (Certified Information Systems Security Professional), CIFI (Certified Information Forensics Investigator) CSSLP (Certified Security Software Lifecycle Professional), CMAS (Certified Master Antiterrorism Specialist) and CISA (Certified Information Systems Auditor) credentials. He has taught CISSP, CISA, CISM, DIACAP, Digital and Network Forensics, and Risk Management courses around the US over the past 7 years. He has presented at EuroCACS 2010, ISMC 2007, ISMC 2006, CyberCrime Summit 2007, multiple year presentations for OPNET Technologies international conferences, INFOSEC WORLD 2005, multiple presentations for military and civilian conferences for customers and clients worldwide



# Track 2- IT/CybersecurityTrack \*NASBA\*



## "Auditing the Cybersecurity of Your Internet DMZ (Good Fences Make Good Neighbors)" Wednesday, 11/20/2019 – Friday 11/22/2019

Presented by Ken Cutler CISSP, CISM, CISA, Security+, CASP, Q/EH

Today's Internet connections are typically shielded by a Demilitarized Zone (DMZ), a critical CyberSecurity buffer between your organization's internal network and the outside world. Firewalls, intrusion detection/prevention systems, proxy servers, load balancers, filtering routers, VLANs, and VPNs all play a major role in regulating and restricting traffic flowing to and from the Internet CyberSpace. Failure to properly configure, maintain, and monitor a secure and efficient DMZ increases the risk of your organization being attacked by CyberCriminals and other external intruders. This intensive seminar is designed to equip you to better protect and audit your network's perimeter CyberSecurity through a blend of practical, up-to-the minute knowledge transfer and audit case studies.

### Learning Objectives:

- Identify key control points and building blocks in CybserSpace DMZs and CybserSpace connections
- Evaluate CyberSecurity risks and safeguards associated with Internet and other external network connections
- Tidentify and assess the role of each network device control point, firewalls and beyond, in the overall DMZ CyberSecurity policy
- Locate sources of industry benchmarks for best CyberSecurity practices and compliance requirements for DMZ and external network connections
- Tools and techniques for CyberAudits of network device configurations and overall network security for the DMZ and associated external network connections
- Planning for Network Perimeter Security Audits: Risks to your Internet and other public facing network connections DMZ security control points • Developing a TCP/IP application risk management methodology • Roles of devices in the DMZ • Sources of audit tools and resources • Developing an audit work program for DMZ audits • DMZ design analysis
- Router and Other Network Device Configuration, CyberSecurity, and Audit: Classes of devices and protocols Network device maintenance port access controls • Cisco IOS router configuration essentials for security and auditing • Border Gateway Protocol (BGP) security requirements • Router access control lists (ACLs) • Router configuration management and audit tools • Router configuration analysis
- Network Firewall Policies, Security, Configuration, and Audit: Firewall architectures pros and cons State management Typical firewall policy rule syntax • Basic packet filtering policy requirements • Network address translation (NAT) • Web application firewalls, mail guards, and other proxy servers • Common firewall configuration errors • Intrusion detection/prevention systems (IDS/IPS) • Firewall configuration management and audit tools • Firewall policy and configuration analysis
- Auditing VPN and Remote Access CyberSecurity: Evaluating VPN protocol alternatives VPN CyberSecurity configuration features and related policy requirements • Relative positioning of firewalls and VPN end-points • RADIUS and TACACS+ and other authentication services • VPN CyberSecurity configuration analysis
- Network Switch Configuration, CyberSecurity, and Audit: Role of network switches in the DMZ VLAN characteristics and configuration • Attacks and countermeasures for VLANs • Network switch configuration analysis
- Remote Discovery and Vulnerability Testing of Your Network Perimeter: Special considerations for external network CyberSecurity discovery and vulnerability testing • Network host discovery, multi-protocol traceroutes, stealth scanning • Firewall, VPN, and other device discovery and footprinting procedures \* Included in the 3-day lecture/demo and 5-day hands-on class only

### About the Speaker

Ken Cutler CISSP, CISM, CISA, Security+, CASP, O/EH is President of Ken Cutler & Associates (KCA) InfoSec Assurance, an independent consulting firm delivering Information Security and IT audit professional consulting services. He is Director of Prof. Cert. Programs for Security University and a Sr Teaching Fellow at CPEi (CPE Interactive), specializing in Technical Audits of IT Security and IT controls. Ken is an internationally recognized consultant and trainer in the Info. Sec. and IT audit fields and is a Qualified Ethical Hacker (Q/EH) and a Certified Meteorologist (USAF). He was formerly VP of Info. Sec. for MIS Training Institute and has held numerous positions in IT mgt, including being CIO of a Fortune 500 company. He directed company-wide IS programs for American Express Travel Related Services, Martin Marietta Data Systems, and Midlantic Banks, Inc. Ken has been a long-time active participant in international gov. and industry security standards initiatives including the President's Commission on Critical Infrastructure Protection, Generally Accepted System Security Principles (GSSP), Information Technology Security Evaluation Criteria (ITSEC), US Federal Criteria, and Department of Defense Information Assurance Certification Initiative. Mr. Cutler is the primary author of the widely acclaimed Commercial International Security Requirements; co-author of the original NIST SP 800-41, "Guidelines on Firewalls and Firewall Policy", and has published many other works in addition to being quoted as an expert in publications as well as tv appearances.



### Track 3



### Certified Internal Auditor (CIA) Exam Review

https://na.theiia.org/certification/CIA-Certification/Pages/CIA-Certification.aspx

Presented by H. Garland Granger, CPA, CIA, CFE – Guilford College, Greensboro, NC

The CIA designation is a globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their competency and professionalism in the internal auditing field. Participants will leave enriched with educational experience, information, and business tools that can be applied immediately in any organization or business environment. Participants will also learn what to do to be prepared for changes to a the exam. Even if you are not registered for the exam, you may find this a good overview of Internal Auditing, or a chance to learn what the exam is all about.

Dr. Granger will provide his own updated 3 Part CIA Review study manuals, which are tied to the Gleim 17<sup>th</sup> Edition 3 Part CIA Review manuals. Participants may bring their personal Gleim CIA Review Manuals with them. Exam Parts will be covered as follows:

**Wednesday, 11/20/2019:** Part 1 (8:30 am to 12:00 pm) and Part 2 (1:00 pm to 4:40 pm)

**Thursday, 11/21/2019:** Part 3 (8:30 am to 4:40 pm)

### About the Speaker

Garland Granger, CPA, CIA, CFE is president of Professional Accounting Seminars, Inc. He worked for 2 years in banking, 8 years in public accounting and is Associate Professor of Accounting at Guilford College in Greensboro. Garland has taught the CIA Review course for several IIA chapters for years. This will be his 35<sup>th</sup> year teaching the CIA review course for the SC chapters. Teaching in Boston, over 700 attendees became CIAs over a 6 year period. Garland taught the Auditing portion of the Lambers CPA Review course in Greensboro for over 35 years; has been teaching accounting seminars for over 18 years; has taught more than 900 continuing education seminars for CPAs in 20 states to the public, to CPA firms and to major corporations; has taught seminars over the past few years with Western CPE; and, has taught over 75 seminars for Branch Bank & Trust, Co., for the past 12 years. This will be a valuable opportunity to review for the CIA exam with Dr. Granger in person, not on video!



### Track 4



### Certified Information Systems Auditor (CISA) Exam Review

http://www.isaca.org/Certification/CISA-Certified-Information-Systems-Auditor/What-is-CISA/Pages/default.aspx

With a growing demand for individuals possessing IS audit, control and security skills, CISA has become a preferred certification program by individuals and organizations around the world. ISACA's CISA was named among the four highest-paying certifications for 2012 according to the IT Skills and Salary Survey by Global Knowledge and TechRepublic.

Utilizing CISA Review materials, this session assists in preparing participants for the CISA exam administered by ISACA. Participants learn to demonstrate competence in five domains, including standards and practices; organization and management; processes; integrity, confidentiality and availability; and software development, acquisition and maintenance. Even if you do not plan to take the exam right away, you may find this a good overview of Information Systems Auditing, or a chance to learn what the exam is all about.

Participants will bring and utilize their own personal CISA exam review manuals in addition to materials used by the presenter. See https://www.isaca.org/bookstore/Pages/CISA-Exam-Resources.aspx.

Contact SC.Statewide.Audit.Conference@gmail.com with questions/requests.

### **General Information**

### **Meeting Facilities and Conference Hotel**

All meetings will be held at the Embassy Suites by Hilton Columbia - Greystone located at 200 Stoneridge Drive, Columbia, SC 29210.

Embassy Suites is located off of I-26 at Greystone Blvd. near Columbia's famous Riverbanks Zoo, less than 2 miles from downtown Columbia and the Congaree Vista. They are offering a special conference rate of \$136.00 per night. You will receive free made-to-order breakfast each morning; free evening reception each evening offering cocktails and hors d'oeuvres; full hotel suite with refrigerator; FREE shuttle service to and from Columbia Metropolitan Airport and attractions within a 5-mile radius including Riverbanks Zoo, The Vista, and USC; indoor pool & whirlpool; Fitness Center featuring Precor Equipment; FREE Parking; and, free in-room high-speed internet as well as a complimentary business cetner. Check in: 4 pm – Checkout: 12 pm. Service animals and pets allowed (with deposit).

You should book your hotel room by Friday, 11/1/19 in order to receive the conference rate.

**Book Your Room for 2019 Here Now** 

or call: 1-803-252-8700.

When making your reservation, identify that you are with 27<sup>th</sup> Annual SC Statewide Audit Conference. PLEASE MAKE YOUR ROOM RESERVATIONS AS SOON AS POSSIBLE!

### <u>Conference Registration Site:</u> http://www.eiseverywhere.com/396553

### **Transportation**

Complimentary shuttle service available to and from Columbia Metropolitan Airport and to Downtown/ Capital/Congaree Vista areas within a 5 mile radius.

### **Parking**

Free on-site parking in large parking lot.

### **Attire**

Dress for all events is business casual. Since temperatures in meeting rooms vary, a sweater or light jacket is recommended.

### **Meals**

Conference begins at 8:30 am Wednesday, November 20, 2019. Breakfast, lunch and a light snack will be served on November 20 and 21, 2019, starting at 7:30 am. Conference ends on Friday, November 22, 2019, at 12:20 pm. Breakfast and mid-morning coffee will be served starting at 7:30 am.

### **Area Info:**

http://www.experiencecolumbiasc.com/

http://mainstcolasc.com/play/

http://www.vistacolumbia.com/

http://www.riverbanks.org

http://www.scmuseum.org/

http://columbia.leisurefun.net/events/index.asp

https://www.coloniallifearena.com/

http://www.gamecocksonline.com/ &

https://www.sc.edu/calendar/uofsc/public/index.php#/?i=5

### Conference Registration Dates and Fees - Registration Deadline: 11/19/2019

	On or before 10/30/19	<u> 10/31/19 - 11/13/19</u>	After 11/13/19
Full Conference	\$450 member; \$500 nonmember	\$525 member; \$575 nonmember	\$625 all
Wed. 11/20/19	\$180 member; \$200 nonmember	\$210 member; \$230 nonmember	\$250 all
Thurs. 11/21/19	\$180 member; \$200 nonmember	\$210 member; \$230 nonmember	\$250 all
Fri. 11/22/19	\$90 member; \$100 nonmember	\$105 member; \$115 nonmember	\$125 all
Fri. 11/22/19	Certain Courses Only: SC Ethics etc.	\$50 (contact SC.Statewide.Audit.Conference@gmail.com)	

Paying out of pocket? Please contact <a href="SC.Statewide.Audit.Conference@gmail.com">SC.Statewide.Audit.Conference@gmail.com</a> for a hardship rate.

Conference Agenda				
Wednesday, November 20	Thursday, November 21	Friday, November 22		
Full Day Tracks 1 - 4	Full Day Tracks 1 - 4	Half Day General Session,		
		IT Track and CISA Review Track		
7:30 Breakfast	7:30 Breakfast	7:30 Breakfast		
8:30 Sessions Begin	8:30 Sessions Begin	8:30 Session Begins		
10:00 Break	10:00 Break	10:10 Break		
10:15 Sessions Resume	10:15 Sessions Resume	10:25 Session Resumes		
12:00 Lunch	12:00 Lunch	11:15 Break		
1:00 Sessions Resume	1:00 Sessions Resume	11:30 Session Resumes		
2:30 Break	2:30 Break	12:20 Conference Ends		
2:45 Sessions Resume	2:45 Sessions Resume	SC State Internal Auditors Association		
4:40 Sessions Adjourn	4:40 Sessions Adjourn	Annual Business Meeting at 12:30 pm		